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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/489,161	01/21/2000	Martin Lee Schanze	041-470-L	5455

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UNISYS CORPORATION  
OFFICE OF GENERAL COUNSEL  
10850 VIA FRONTERA  
M/S 1000  
SAN DIEGO, CA 92127

EXAMINER
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ADAMS, JONATHAN R

ART UNIT	PAPER NUMBER
2134	5

DATE MAILED: 11/17/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/489,161

Applicant(s)

SCHANZE ET AL.

Examiner

Jonathan R Adams

Art Unit

2134

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE \_\_\_\_ MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 21 January 2000.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☐ Claim(s) \_\_\_\_ is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-15 is/are rejected.
- 7) ☒ Claim(s) 1-5 and 15 is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

**Priority under 35 U.S.C. §§ 119 and 120**

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_.
- 4) ☐ Interview Summary (PTO-413) Paper No(s): \_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_.

**NORMAN M. WRIGHT**  
**PRIMARY EXAMINER**

**DETAILED ACTION**

***Claim Objections***

1. Claims 1-5 and 15 objected to because of the following informalities:
  - a. In claim 1, line 13, the phrase "said single client requesting authentication" is inconsistent terminology.
  - b. In claim 3, line 4, incorrect capitalization of "client-Server".
  - c. In claim 15, line 8, incorrect capitalization of "client-Terminal".

Appropriate correction is required.

***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

1. Claims 11 and 12 rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.
2. Claim 11 recites the limitation "said first completed authentication request" in line 8. There is insufficient antecedent basis for this limitation in the claim. For purposes of applying prior art, the preceding phrase will be interpreted as "a completed authentication request."

3. Claim 11 recites the limitation "said Kerberos Support Library" in line 8. There is insufficient antecedent basis for this limitation in the claim. For purposes of applying prior art, the preceding phrase will be interpreted as "a Kerberos Support Library."
4. Claim 11 recites the limitation "said communication means" in line 10. There is insufficient antecedent basis for this limitation in the claim. For purposes of applying prior art, the preceding phrase will be interpreted as "a communication means."
5. Claim 12 recites the limitation "said communication means" in line 3. There is insufficient antecedent basis for this limitation in the claim. For purposes of applying prior art, the preceding phrase will be interpreted as "a communication means."
6. Claim 12 recites the limitation "said Kerberos Support Library" in line 5. There is insufficient antecedent basis for this limitation in the claim. For purposes of applying prior art, the preceding phrase will be interpreted as "a Kerberos Support Library."

***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 1-3, 7-9, 11, and 12 rejected under 35 U.S.C. 102(b) as being anticipated by Seitz patent number 5,805,823 (hereafter referred to as '823). The reference, "The Kerberos Network Authentication Service" is used as a detailed description of Kerberos, and will hereafter be referred to as KNAS.

1. As to claims 1-3, 7-9, 11, and 12, '823 teaches the claimed invention comprising:
  - a. System and Method ('823, Abstract, Line 1 et seq.)
  - b. Asynchronous authentication ... / Asynchronous data exchange ('823, Abstract, Line 2), Asynchronous inbound event ('823, Col. 6, Line 47 et seq.), Authenticate ('823, Col. 19, Line 23 et seq.)
  - c. Kerberos Domain ... / Kerberos ('823, Col. 19, Line 33 et seq.)
  - d. Client-user means ... , Originating terminal ... , Multiple client-users... / Client computers('823, Col. 3, Line 53 et seq.)
  - e. Requesting authentication... / A client sends a request ...(KNAS, Introduction, paragraph 2), (KNAS section 3.1)
  - f. Client-server means... / Each Client application ... ('823, Col. 3, Line 59 et seq.)
  - g. Kerberos server means... / Kerberos ('823, Col. 19, Line 33 et seq.) – server always present within Kerberos environment / Kerberos Authentication server ...(KNAS section 3.1)
  - h. Credentials... / credentials (KNAS, Introduction, paragraph 2) , (KNAS section 3.1)

- i. Authentication response... / AS responds... (KNAS, Introduction, paragraph 2), (KNAS section 3.1)
- j. Ticket Granting Service (KNAS section 3.1).
- k. Transmit authentication signal ... to originating terminal. " / ... to authenticate the client (KNAS, Introduction, paragraph 2)

***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 4-6, 10, and 13-15 rejected under 35 U.S.C. 103(a) as being unpatentable over Seitz (5,805,823) as applied to claims 1 and 9 above, and further in view of Schanze (6,003,136) here after referred to as '136.

'823 teaches the use of asynchronous authentication of multiple concurrent clients in a Kerberos environment to maximize network efficiency. '823 does not teach specifically the use of a Master Control Program, General Security Service Library, and Kerberos Support Library. '136 teaches the use of a Master Control Program, and General Security Service Library to develop an asynchronous response message for a client in a Kerberos environment. '136 also teaches the use of a Kerberos Support Library to obtain and store credential information (Col 16, line 13 et seq.) It would have been obvious to a person of ordinary skill in the art at the time of the invention, to

incorporate the invention of '136 into the system of '823 by using the specific program means listed in '136 to implement the Kerberos Authenticate method mentioned in '823 ('823, Col. 19, Line 23 et seq.). One of ordinary skill in the art would have been motivated to incorporate '136 because the program means given in '136 is a well known Kerberos authentication implementation. '136 suggests that the overhead associated with Kerberos systems may be obviated through the use of programs that allow continued processing of request. (Col. 2, lines 35-45; Col. 3, lines 10-35)

2. As to claims 4-6, 10, and 13-15:

- a. System and Method ('823, Abstract, Line 1 et seq.)
- b. Kerberos environment / Kerberos ('823, Col. 19, Line 33 et seq.)
- c. Client user, Client terminal means / Client computers ('823, Col. 3, Line 53 et seq.)
- d. Authentication request / A client sends a request ... (KNAS, Introduction, paragraph 2), (KNAS section 3.1)
- e. Message response without suspending client service / Asynchronous data exchange ('823, Abstract, Line 2 et seq.), Asynchronous inbound event ('823, Col. 6, Line 47 et seq.), Authenticate ('823, Col. 19, Line 23 et seq.)
- f. Original request for validation / A client sends a request ... (KNAS, Introduction, paragraph 2), (KNAS section 3.1)
- g. Program means ... for transmitting ... / Fig. 3, item 40 and 42 of '136
- h. Master Control Program / Fig. 3, item 60 of '136
- i. Kerberos Support Library / Fig. 2, item 34 of '136

- j. General Security Service Library / Fig. 2, item 38 of '136
- k. Kerberos server / Fig. 2, item 20 of '136
- l. Credential information / credentials (KNAS, Introduction, paragraph 2) ,  
(KNAS section 3.1)
- m. Elicit authentication information ... ticket granting service / Fig. 5, item B2,  
B3
- n. Communication management program / Communication Management  
System ('136, Col. 4, Line 38 et seq.)
- o. Menu assisted resource control program / MARC ('136, Col. 4, Line 44 et  
seq.)
- p. Session key (KNAS section 3.1)
- q. Generating a message... successfully completed / Output: success or  
error code ('823, Col. 19, Line 28 et seq.)
- r. Terminating the session / disconnect ('823, Col. 19, Line 5 et seq.)

### ***Conclusion***

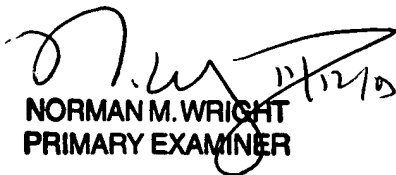
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jonathan R Adams whose telephone number is (703) 305-8894. The examiner can normally be reached on Monday – Friday from 10am to 6pm.



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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gregory Morse, can be reached on (703) 308-4789. The fax phone number for the organization where this application or proceeding is assigned is (703) 872-9306

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 305-3900.

  
NORMAN M. WRIGHT  
PRIMARY EXAMINER